

UOB – Sanctions Questionnaire (Corporates)

United Overseas Bank Limited (“UOB”), its branches in and outside Singapore and subsidiaries (“UOB Group entities”) are committed to complying with the sanctions laws and regulations (“sanctions laws”) imposed by Singapore, the United Nations Security Council, the European Union, the U.S. Department of the Treasury’s Office of Foreign Assets Control or any other applicable regulatory or supervisory authority or body. UOB endeavours to understand the extent of its clients’ activities with certain locations identified in the public domain that may increase UOB sanctions risks. The purpose of this form is to ask questions which help identify and understand the nature of any sanctions exposure.

Legal Entity Name:	Name of Individual(s) & Designation :							
	Name of Relationship Manager:							
	Date:							
Section A: Sanctions Exposure <i>If yes to any of the below questions, please provide more information to the corresponding Section below each question.</i> Sanctioned Countries/Jurisdictions: Iran, North Korea, Syria, Crimea, Luhansk and Donetsk Region and Cuba								
1. Is/Are the company or company’s counterparties ¹ <ul style="list-style-type: none"> Incorporated; or have any offices in the above Sanctioned Countries/Jurisdictions? 								<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, details of company or company’s counterparties who is incorporated or have offices in the above Sanctioned Countries/ Jurisdictions.								
2a. Does the company have any business activities or transactions in the above Sanctioned Countries/Jurisdictions? If Yes, provide details in the below and complete Section 2b. If No, please proceed to Section 3.								<input type="checkbox"/> Yes <input type="checkbox"/> No
Sanctioned Countries/ Jurisdictions	North Korea	Iran	Syria	Crimea Region	Luhansk Region	Donetsk Region	Cuba	Total
Percentage of Exposure (%)								
2b. Details of transaction flows of the business activities relating to the Sanctioned Countries/Jurisdictions directly or indirectly, including currency(ies), name of all counterparties, underlying vessels, goods). Any UOB products and services involved in such activities?								

3. Does the company have any upcoming or future business plans with the above Sanctioned Countries/Jurisdictions?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, information relating to the Business plan, including timeline, name of all counterparties, activities involved, transaction flows. Any UOB products and services to be involved in such activities?	
4. Does the company have connected/related parties ² , who are citizens of, reside, or operate/have business activities in the above Sanctioned Countries/Jurisdictions?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, provide details including full name of individuals and role in the company, country of citizenship and residency. Full details of Legal entity including the business activities involved and location of incorporation and operations. What is the relationship with the company?	
5. Is/Are the company, company's connected/related parties ² or company's counterparties ¹ <ul style="list-style-type: none"> • Currently sanctioned⁴; or • Have any business dealings/transactions with parties and/or activities³ that are sanctioned⁴ 	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, details of Sanctioned party name, location. Any applicable license (General/Specific)? How are UOB products and services involved in these activities?	

<p>6. Does the company have any dealings with Russia on the following goods:</p> <ul style="list-style-type: none"> (i) Military Related Goods (ii) Dual-use goods under Strategic Goods (Control) Order 2021 – Category 3(Electronics), Category 4 (Computers) or Category 5 (Telecommunications and “Information Security”) (iii) Dual-use goods and technology items (iv) Import from Russia – Coal, Iron, Steel, Wood, Cement, seafood and liquor (v) Export to Russia - Goods and technologies in the oil refining sector, Goods and technology in the aviation, maritime and space industry in Russia, Luxury goods (vi) New investments in the Russian energy sector 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>If Yes, please provide details on the above dealings including the counterparties, underlying goods, currency etc. Any UOB products and services involved in the above activities?</p>	

¹Counterparties refers to suppliers, buyers, agents, brokers or distributors.

²Connected/Related parties refer to individuals/entities such as company’s subsidiaries, affiliates, beneficial owners, shareholders, directors, Key Senior Managements (Chairman, President, CEO, CFO, COO) and authorized signatories

³Sanctioned Activities refer to activities that would violate a law or regulation of any country

⁴Sanctions programs administered by sanctions administration bodies such as OFAC, UN, EU, UK, MAS or applicable host country sanctions laws includes Sectoral Sanctions (Russia and Venezuela), or Targeted Sanctions (Belarus and Zimbabwe)

<p>Details of Sanctions Exposure(s) - Additional Information, if any.</p>
<p></p>

Section B: Enabling UOB to understand your business better	
If yes to any of the below questions, please provide more information to the corresponding Section below each question.	
1. Does the company or company's counterparties ¹ have any offices, business activities, shipments (Inc. trans-shipment) or transactions in Liaoning Province (China) ⁵ , Jilin Province (China), Primorsky Krai (Russia) or Middle East Region ⁶ ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, provide full office addresses of company and all counterparties in Liaoning Province ⁵ , Jilin Province, Primorsky Krai (Russia) and Middle East Region ⁶ Details of business activities, including and not limited to, shipments details (including transshipments), vessel names, underlying goods, transactions flows (including all banks involved), currency involved, names of all counterparties relating to the above.	
2. Does the company or company's counterparties ¹ maintain any relationship with Financial Institutions in Liaoning Province (China) ⁵ , Jilin Province (China), and Middle East Region ⁶ ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, provide details of company or/and company's counterparties Financial Institutions (FIs) in, Liaoning Province ⁵ , Jilin Province, Primorsky Krai (Russia) and Middle East Region ⁶ , including the name of the FIs, role of FIs and involvement of UOB.	
3. Does the company transact, send or receive payments on behalf of an unrelated 3 rd party?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, provide details of business/ commercial rationale of on-behalf of transactions for unrelated 3 rd party. Include full name of the third parties, relationship between the company and the 3 rd parties involved, details of transactions flows and how is UOB involved in these transactions.	
4. Does the company share the same office address, telephone numbers, beneficial owners, authorised signatories or employees with an unrelated 3 rd party?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, what is the rationale of the above arrangement?	
5. Does the company have any dealings with Myanmar Military/ Government or entities owned by Myanmar Military / Government that are Sanctioned directly or indirectly?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, provide name and full office addresses of all counterparties linked to the Myanmar Military/ Government Details of business activities, including and not limited to, shipments details (including transshipments), vessel names, underlying goods, transactions flows (including all banks involved) and currency involved.	

⁵ Liaoning Province refer to cities Dalian, Dandong, Jinzhou, Shenyang as identified in US FINCEN report (https://www.fincen.gov/sites/default/files/advisory/2017-11-02/DPRK%20Financing%20Advisory%20FINAL%201022017_0.pdf)

⁶ Middle East Region refers to United Arab Emirates, Oman and Qatar

Section C: Customer's Confirmation and Acceptance

- I/we confirm that all information provided above is correct and true.
- I/we undertake that I/we will not transact any business or activities through my/our accounts or services with UOB, that directly or indirectly involve or benefit any person or entity located in a Sanctioned Country/Jurisdiction or, with any jurisdiction, state, entity, vessel or individual, designated as a sanctioned entity.
- I/we shall notify the Bank immediately if any representation, undertaking or confirmation contained herein, or any information provided, becomes, or is likely to become untrue or inaccurate in whole or in part, at any time.

Name of Individual(s) & Designation:

Signature(s):

Date: